

12/23/99

JCS88 U.S. PTO

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

E0295/7130 (RFG/JT)

First Named Inventor or Application Identifier

PHILLIPS, Jeffrey et al.

Express Mail Label No.

EL056833345US

Date of Deposit

December 23, 1999

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS

TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ■ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ■ Specification [Total pages 42]
 - 29 pages specification
 - 1 pages abstract
 - 12 pages claims
 - 56 claims

3. ■ Drawing(s) (35 USC 113) [Total sheets 14]
 ■ Informal Formal [Total drawings Figs. 1-14]

- 4. ■ Oath or Declaration** [Total pages 3]
a. ■ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]

- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

5. ☐ **Incorporation by Reference**
(usable if Box 4b is checked)
 The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence
Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & documents(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation of Document (if applicable)
11. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Small Entity ☐ Statement filed in prior
Statement(s) application, Status still proper
and desired
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

- 16. Other:**

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

☐ Cancel in this application original claims of the prior application before calculating the filing fee.

☐ Amend the specification by inserting before the first line the sentence:

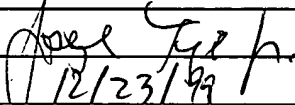
This application is a ☐ continuation ☐ divisional of application serial no. , filed , entitled , and now .

18. CORRESPONDENCE ADDRESS

Correspondence address below

ATTORNEY'S NAME	Richard F. Giunta, Reg. No. 36,149				
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19. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

NAME	Joseph Teja, Jr., Reg. No. 45,157
SIGNATURE	
DATE	12/23/99

Inventor or Identifier: PHILLIPS, Jeffrey et al.

Serial No: Not yet assigned

Filed: Herewith

CHECK BOX, if applicable:

For: METHOD AND APPARATUS FOR MANAGING
INFORMATION RELATING TO STORAGE ACTIVITIES OF
DATA STORAGE SYSTEMS

☐ **DUPLICATE**

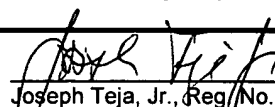
Fee Calculation Sheet

CLAIMS	FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
	TOTAL CLAIMS (37 CFR 1.16(c))	56-20=	36 x	\$18	= \$648.00
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	13-3=	10 x	\$78	= \$780.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) +			\$	= \$0.00
				BASIC FEE (37 CFR 1.16(a))	\$ 760.00
				Total of above Calculations =	\$2188.00
	Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).				\$2188.00
	Assignment Recordation Fee (if any)				\$ 40.00
	Other Fees (e.g., Petition for Extension of Time), if any NOTE: Enter small-entity amount if applicable.				\$ 0.00
	TOTAL =				\$2228.00

1. A check in the amount of \$2228.00 is enclosed.

General Authorization to Charge Deposit Account and General Request for Extension of Time

2. a. ☒ If the filing of any paper in this application necessitates the payment of a fee under 37 CFR \S 1.16 ☒ 1.17 or ☐ 1.18, and the fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 23/2825.
- b. ☐ The applicant hereby revokes any prior authorization to charge a fee due under 37 CFR \S 1.16 ☐ 1.17 or ☐ 1.18.
3. If the filing of any paper in this application necessitates an extension of time under 37 CFR \S 1.136(a), the applicant hereby requests such extension of time. If the fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 23/2825.


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Date: December 23, 1999